

Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
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EFS ID: 14886  
Application ID: 10063512  
Title of Invention: SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
First Named Inventor: Dan Eaton  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2002-05-01  
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 10466/297  
Digital Certificate Holder: cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: eO/hF3unzDDuKPX/HuCEbg==  
Total Fees Authorized: \$740.0  
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Credit Card Number: \*\*\*\*\*1002  
Expiration Date: 04302004  
Card Holder Name: M HOFFMAN 10466/297  
RAM User ID: EFSPROD  
RAM Accounting Date: 2002-05-01  
RAM Sequence Number: 445277  
RAM Payment Status: RAM success  
Postal Code: 60611

## TRANSMITTAL FORM

Electronic Version 1.0.3

Stylesheet Version: 1.0

Submission Type: Utility Patent  
FilingAttorney Docket  
Number:

10466/297

**SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME**

First Named Inventor: Dan L. Eaton

## SUBMITTED BY

Name:

Dr. Paul E. Rauch

Registration Number:

38591

Electronic Signature Mark: Paul E.  
Rauch

Date Signed: 20020501

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

## Attached Files:

declaration

Declaration01.tif

declaration

Declaration02.tif

|                  |                               |
|------------------|-------------------------------|
| declaration      | Declaration03.tif             |
| declaration      | Declaration04.tif             |
| declaration      | Declaration05.tif             |
| declaration      | Declaration06.tif             |
| declaration      | Declaration07.tif             |
| declaration      | Declaration08.tif             |
| declaration      | Declaration09.tif             |
| declaration      | Declaration10.tif             |
| declaration      | Declaration11.tif             |
| declaration      | Declaration12.tif             |
| sequence-listing | Sequence_Listing_as_filed.txt |
| specification    | 10466297.xml                  |
| bid-transmittal  | 10466297apds.xml              |
| fee-transmittal  | 10466297fee.xml               |

**Attached Image File(s):**

Declaration01.tif  
Declaration02.tif  
Declaration03.tif  
Declaration04.tif  
Declaration05.tif  
Declaration06.tif  
Declaration07.tif  
Declaration08.tif  
Declaration09.tif  
Declaration10.tif  
Declaration11.tif  
Declaration12.tif

**Comments:**

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRAME 012377/0266; Recorded:12/06/2001

Docket No

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are **as stated** below next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S**

the specification of which (check one) ☒ is attached hereto or ☐ was filed on  as Application Serial No.  and was ☐ applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including any amendments, and I agree to be bound by the same.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with the Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Prior  
Yes

| Number  | Country | Day/Month/Year Filed |
|---|---------|----------------------|
| I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) |         |                      |

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

| Application Ser. No.   | Filing Date |
|--|-------------|
| I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application or PCT international filing date of this application: |             |

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

| Application Ser. No.               | Filing Date | Status: Patented, Pending, Abandon |
|------------------------------------|-------------|------------------------------------|
| Application Ser. No.               |             |                                    |
| Filing Date                        |             |                                    |
| Status: Patented, Pending, Abandon |             |                                    |

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

**Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442**

Send correspondence to:

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Facsimile: 312-321-4299  
Email: prauch@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements with knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U.S. Code and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent attorney or agent to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

|   |         |
|---|---------|
| Full name of sole or first inventor                                 |         |
| Dan L. Eaton  | 10/2/01 |
| Inventor's signature  | Date    |
| Residence 45 Inverness Dr.<br>75 Knight Drive, San Rafael, CA 94901 |         |
| Citizenship<br>US   |         |
| Post Office Address<br>1 DNA Way<br>South San Francisco, CA 94080   |         |
| Full name of second joint inventor, if any                          |         |
| Ellen Filvaroff   |         |
| Inventor's signature  | Date    |
| Ellen Filvaroff   | 10/1/01 |
| Residence<br>538 18th Avenue, San Francisco, CA 94121               |         |
| Citizenship<br>US   |         |
| Post Office Address<br>1 DNA Way<br>South San Francisco, CA 94080   |         |
| Full name of third joint inventor, if any                           |         |
| Mary E. Gerntsen  |         |
| Inventor's signature  | Date    |
| Residence<br>541 Parrott Drive, San Mateo, CA 94402                 |         |
| Citizenship<br>CA   |         |
| Post Office Address<br>1 DNA Way<br>South San Francisco, CA 94080   |         |

Full name of fourth joint inventor, if any

Audrey Goddard

Inventor's signature

*A. Goddard*

Date

1 OCT. 2001

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Paul J. Godowski

Inventor's signature

*Paul J. Godowski*

Date

10/1/01

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*J. Christopher Grimaldi*

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Full name of seventh joint inventor, if any

Austin L. Gurney

Inventor's signature

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Date

10/1/01

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Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature

*Colin K. Watanabe*

Date

10.2.2001

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Citizenship

US

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Full name of ninth joint inventor, if any

William I. Wood

Inventor's signature

*William I. Wood*

Date

10/3/21

Residence

35 Southdown Court, Hillsborough, CA 94010

Citizenship

US

Post Office Address

1 DNA Way  
South San Francisco, CA 94080



Docket No.1

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S/**

the specification of which (check one) X is attached hereto or was filed on as Application Serial No. and was am applicable).

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Prior Foreign Application(s):

Priori  
Yes

| Number | Country | Day/Month/Year Filed |
|--------|---------|----------------------|
|--------|---------|----------------------|

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**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

| Application Ser. No. | Filing Date |
|----------------------|-------------|
|----------------------|-------------|

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application national or PCT international filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

| Application Ser. No. | Filing Date | Status: Patented, Pending, Abandoned |
|----------------------|-------------|--------------------------------------|
|----------------------|-------------|--------------------------------------|

| Application Ser. No. | Filing Date | Status: Patented, Pending, Abandoned |
|----------------------|-------------|--------------------------------------|
|----------------------|-------------|--------------------------------------|

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

**Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442**

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Attn: Paul E. Rauch  
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Email: prauch@brinkshofer.com

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Full name of sole or first inventor

Dan L. Eaton

Inventor's signature

Date

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Full name of second joint inventor, if any

Ellen Filvaroff

Inventor's signature

Date

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Full name of third joint inventor, if any

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Inventor's signature

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Oct 15, 2001

Full name of fourth joint inventor, if any

**Audrey Goddard**

**Inventor's signature**

Date \_\_\_\_\_

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Full name of fifth joint inventor, if any

**Paul J Godowski**

**Inventor's signature**

Date \_\_\_\_\_

### Residence

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## Citizenship

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Full name of sixth joint inventor, if any

J Christopher Grimaldi

Inventor's signature

Date \_\_\_\_\_

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## Citizenship

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Full name of seventh joint inventor, if any

Austin L. Gurney

Inventor's signature

Date \_\_\_\_\_

Residence

1 Debbie Lane, Belmont, CA 94002

## Citizenship

US

Post Office Address

1 DNA Way  
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Full name of eighth joint inventor, if any

Colin K. Watanabe

Inventor's signature

Date

Residence

128 Cortiss Drive, Moraga, CA 94556

Citizenship

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Full name of ninth joint inventor, if any

William I Wood

Inventor's signature

Date

Residence

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Citizenship

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Post Office Address

1 DNA Way  
South San Francisco, CA 94080

**APPENDIX A**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

|     |           |                |
|-----|-----------|----------------|
| 1.  | 60/063435 | Filed 10/29/97 |
| 2.  | 60/064215 | Filed 10/29/97 |
| 3.  | 60/082797 | Filed 4/22/98  |
| 4.  | 60/083495 | Filed 4/29/98  |
| 5.  | 60/085579 | Filed 5/15/98  |
| 6.  | 60/087759 | Filed 6/2/98   |
| 7.  | 60/088021 | Filed 6/4/98   |
| 8.  | 60/088029 | Filed 6/4/98   |
| 9.  | 60/088030 | Filed 6/4/98   |
| 10. | 60/088734 | Filed 6/10/98  |
| 11. | 60/088740 | Filed 6/10/98  |
| 12. | 60/088811 | Filed 6/10/98  |
| 13. | 60/088824 | Filed 6/10/98  |
| 14. | 60/088825 | Filed 6/10/98  |
| 15. | 60/088863 | Filed 6/11/98  |
| 16. | 60/089105 | Filed 6/12/98  |
| 17. | 60/089514 | Filed 6/16/98  |
| 18. | 60/089653 | Filed 6/17/98  |
| 19. | 60/089952 | Filed 6/19/98  |
| 20. | 60/090246 | Filed 6/22/98  |
| 21. | 60/090444 | Filed 6/24/98  |
| 22. | 60/090688 | Filed 6/25/98  |
| 23. | 60/090696 | Filed 6/25/98  |
| 24. | 60/090862 | Filed 6/26/98  |
| 25. | 60/091628 | Filed 7/2/98   |
| 26. | 60/096012 | Filed 8/10/98  |
| 27. | 60/096757 | Filed 8/17/98  |
| 28. | 60/096949 | Filed 8/18/98  |
| 29. | 60/096959 | Filed 8/18/98  |
| 30. | 60/097954 | Filed 8/26/98  |
| 31. | 60/097971 | Filed 8/26/98  |
| 32. | 60/097979 | Filed 8/26/98  |
| 33. | 60/098749 | Filed 9/1/98   |
| 34. | 60/099741 | Filed 9/10/98  |
| 35. | 60/099763 | Filed 9/10/98  |
| 36. | 60/099792 | Filed 9/10/98  |
| 37. | 60/099812 | Filed 9/10/98  |
| 38. | 60/099815 | Filed 9/10/98  |
| 39. | 60/100627 | Filed 9/16/98  |
| 40. | 60/100662 | Filed 9/16/98  |
| 41. | 60/100683 | Filed 9/17/98  |
| 42. | 60/100684 | Filed 9/17/98  |
| 43. | 60/100930 | Filed 9/17/98  |
| 44. | 60/101279 | Filed 9/22/98  |

|     |           |                |
|-----|-----------|----------------|
| 46. | 60/101738 | Filed 9/24/98  |
| 47. | 60/101743 | Filed 9/24/98  |
| 48. | 60/101916 | Filed 9/24/98  |
| 49. | 60/102570 | Filed 9/30/98  |
| 50. | 60/103449 | Filed 10/6/98  |
| 51. | 60/103678 | Filed 10/8/98  |
| 52. | 60/103679 | Filed 10/8/98  |
| 53. | 60/103711 | Filed 10/8/98  |
| 54. | 60/105000 | Filed 10/20/98 |
| 55. | 60/105002 | Filed 10/20/98 |
| 56. | 60/105881 | Filed 10/27/98 |
| 57. | 60/106030 | Filed 10/28/98 |
| 58. | 60/106464 | Filed 10/30/98 |
| 59. | 60/106856 | Filed 11/3/98  |
| 60. | 60/108807 | Filed 11/17/98 |
| 61. | 60/112419 | Filed 12/15/98 |
| 62. | 60/112422 | Filed 12/15/98 |
| 63. | 60/112853 | Filed 12/16/98 |
| 64. | 60/113011 | Filed 12/16/98 |
| 65. | 60/112854 | Filed 12/16/98 |
| 66. | 60/113300 | Filed 12/22/98 |
| 67. | 60/113408 | Filed 12/22/98 |
| 68. | 60/113430 | Filed 12/23/98 |
| 69. | 60/113621 | Filed 12/23/98 |
| 70. | 60/114223 | Filed 12/30/98 |
| 71. | 60/115614 | Filed 1/12/99  |
| 72. | 60/116527 | Filed 1/20/99  |
| 73. | 60/116843 | Filed 1/22/99  |
| 74. | 60/119285 | Filed 2/9/99   |
| 75. | 60/119287 | Filed 2/9/99   |
| 76. | 60/119525 | Filed 2/10/99  |
| 77. | 60/119549 | Filed 2/10/99  |
| 78. | 60/120014 | Filed 2/11/99  |
| 79. | 60/129122 | Filed 4/13/99  |
| 80. | 60/129674 | Filed 4/16/99  |
| 81. | 60/131291 | Filed 4/27/99  |
| 82. | 60/138387 | Filed 6/9/99   |
| 83. | 60/144791 | Filed 7/20/99  |
| 84. | 60/169495 | Filed 12/7/99  |
| 85. | 60/175481 | Filed 1/11/00  |
| 86. | 60/191007 | Filed 3/21/00  |
| 87. | 60/199397 | Filed 4/25/00  |

**APPENDIX B**

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed be

**US APPLICATIONS**

- |     |            |                |     |
|-----|------------|----------------|-----|
| 1.  | 09/380139  | Filed 8/25/98  |     |
| 2.  | 09/311832  | Filed 5/14/99  |     |
| 3.  | 09/380137  | Filed 8/25/99  | ABD |
| 4.  | 09/380138  | Filed 8/25/99  | ABD |
| 5.  | 09/380142  | Filed 8/25/99  | ABD |
| 6.  | 09/397342  | Filed 9/15/99  |     |
| 7.  | 09/403297  | Filed 10/18/99 | ABD |
| 8.  | 09/423844  | Filed 11/12/99 | ABD |
| 9.  | 09/644848  | Filed 8/22/00  |     |
| 10. | 09/665350  | Filed 9/18/00  |     |
| 11. | 09/664610  | Filed 9/18/00  | ABD |
| 12. | 09/709238  | Filed 11/8/00  |     |
| 13. | 09/747259  | Filed 12/20/00 |     |
| 14. | 09/816744  | Filed 3/22/01  |     |
| 15. | 09/854208  | Filed 5/10/01  |     |
| 16. | 09/854280  | Filed 5/10/01  |     |
| 17. | 09/870574  | Filed 5/30/01  |     |
| 18. | 09/874503  | Filed 6/5/01   |     |
| 19. | 09/869599  | Filed 6/29/01  |     |
| 20. | 09/908,827 | Filed 7/18/01  |     |

**PCT APPLICATIONS**

- |     |                |                |
|-----|----------------|----------------|
| 1.  | PCT/US98/19330 | Filed 9/16/98  |
| 2.  | PCT/US99/05028 | Filed 3/8/99   |
| 3.  | PCT/US99/10733 | Filed 5/14/99  |
| 4.  | PCT/US99/12252 | Filed 6/2/99   |
| 5.  | PCT/US99/20111 | Filed 9/1/99   |
| 6.  | PCT/US99/21090 | Filed 9/15/99  |
| 7.  | PCT/US99/21194 | Filed 9/15/99  |
| 8.  | PCT/US99/30720 | Filed 12/22/99 |
| 9.  | PCT/US00/04341 | Filed 2/18/00  |
| 10. | PCT/US00/04342 | Filed 2/18/00  |
| 11. | PCT/US00/04414 | Filed 2/22/00  |
| 12. | PCT/US00/05601 | Filed 3/1/00   |
| 13. | PCT/US00/08439 | Filed 3/30/00  |
| 14. | PCT/US00/14042 | Filed 5/22/00  |
| 15. | PCT/US00/15264 | Filed 6/2/00   |
| 16. | PCT/US00/23522 | Filed 8/23/00  |
| 17. | PCT/US00/23328 | Filed 8/24/00  |
| 18. | PCT/US00/30873 | Filed 11/10/00 |
| 19. | PCT/US00/32378 | Filed 12/1/00  |
| 20. | PCT/US00/34956 | Filed 12/20/00 |

Page

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|-----|----------------|---------------|
| 22. | PCT/US01/06666 | Filed 3/1/01  |
| 23. | PCT/US01/17443 | Filed 5/30/01 |
| 24. | PCT/US01/17800 | Filed 6/1/01  |
| 25. | PCT/US01/19692 | Filed 6/20/01 |
| 26. | PCT/US01/21066 | Filed 6/29/01 |
| 27. | PCT/US01/21735 | Filed 7/9/01  |



# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 740**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number: 1002  
Expiration Date: 20040430  
Authorized Name: M HOFFMAN 10466/297  
Billing Address: 60611

## BASIC FILING FEE

| Fee Description    | Fee Code | Fee Paid |
|--------------------|----------|----------|
| Utility Filing Fee | 101      | \$ 740   |

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

|                       | Fee Code | Fee   | Extra Claims | Fee Paid |
|-----------------------|----------|-------|--------------|----------|
| Total Claims: 13      | 103      | \$ 18 | 0            | \$ 0     |
| Independent Claims: 2 | 102      | \$ 84 | 0            | \$ 0     |

Subtotal For Extra Claims Fees: \$ 0